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U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)				Complete If Known	
Application Number		10/796,249			
Filing Date		March 9, 2004			
First Named Inventor		Shane S. Owara et al.			
Group Art Unit		2171			
Examiner Name		Richard L. Ellis			
Attorney Docket Number		112056-0167			
Sheet	1	of	3		

U.S. PATENT DOCUMENTS						
Examiner Initials *	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
KL	1	4,570,217		Allen et al.	02-11-1986	
KL	2	5,163,131		Row et al.	11-10-1992	
KL	3	5,202,979		Hillis et al.	04-13-1993	
KL	4	5,278,979		Foster et al.	01-11-1994	

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS		
Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
KL	5	AKYUREK, SEDAT, <i>Placing Replicated Data to Reduce Seek Delays</i> , Department of Computer Science, University of Maryland, UMIACS-TR-91-121, CS-TR-2746, August 1991.
KL	6	BITTON, DINA, <i>Disk Shadowing</i> , Proceedings of the 14 th VLDB Conference, LA, CA 1988.
KL	7	CHAUDHURI, SURAJIT, ET AL., <i>Self-Tuning Technology in Microsoft SQL Server</i> , Data Engineering Journal 22, 2 1999 pp. 20-27.
KL	8	CHUTANI, SAILESH, ET AL., <i>The Episode File System</i> , In Proceedings of the USENIX Winter 1992.
KL	9	COYNE, ROBERT A., ET AL., <i>Storage Systems for National Information Assets</i> , Proc. Supercomputing 92, Minneapolis, Nov. 1992, pp. 626-633.
KL	10	FINLAYSON, ROSS S., ET AL., <i>Log Files: An Extended File Service Exploiting Write-Once Storage</i> Department of Computer Science, Stanford University, Report No. STAN-CS-87-1177, September 1987.
KL	11	GRAY, JIM, ET AL., <i>The Recovery Manager of the System R Database Manager</i> , ACM Computing Surveys, (13)2:223-242 1981.
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KL	13	HOWARD, JOHN, H. ET AL., <i>Scale and Performance in a Distributed File System</i> , Carnegie Mellon University, CMU-ITC-87-068, August 1987.

Examiner Signature	/Kimberly Lovel/	Date Considered	12/09/2006
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¹ EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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Substitute for form 1448A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)				Complete If Known	
Application Number		10/796,249			
Filing Date		March 9, 2004			
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Attorney Docket Number		112056-0167			
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OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS			
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KL	14	HOWARD, JOHN H., <i>An Overview of the Andrew File System</i> , Carnegie Mellon University, CMU-ITC-88-062 1988.	
KL	15	HOWARD, JOHN, H. ET AL., <i>Scale and Performance in a Distributed File System</i> , ACM Trans. Computer System, 6(1), Feb. 1988 pp. 51-81.	
KL	16	KAZAR, MICHAEL LEON, <i>Synchronization and Caching Issues in the Andrew File System</i> , Carnegie Mellon University, CMU-ITC-88-063.	
KL	17	KAZAR, MICHAEL L., ET AL., <i>Decorum File System Architectural Overview</i> , USENIX Summer Conference, Anaheim, California, 1990.	
KL	18	KEMPER, ALFONS, ET AL., <i>Performance Tuning for SAP R/3</i> , Data Engineering Journal 22, 2 1999 pp. 33-40.	
KL	19	KENT, JACK ET AL., <i>Optimizing Shadow Recovery Algorithms</i> , IEEE Transactions on Software Engineering, 14(2): 155-168, February 1988.	
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KL	23	PATTERSON, D., ET AL., <i>A Case for Redundant Arrays of Inexpensive Disks (RAID)</i> , Technical Report, CSD-87-391, Computer Science Division, Electrical Engineering and Computer Sciences, University of California at Berkeley 1987.	
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Application Number		10796,249			
Filing Date		March 9, 2004			
First Named Inventor		Shane S. Owara et al.			
Group Art Unit		2171			
Examiner Name		Richard L. Ellis			
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KL	26	QUINLAN, SEAN, <i>A Cached WORM File System</i> , Software-Practice and Experience, 21(12):1289-1299 1991.	
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KL	34	SIDEBOTHAM, BOB, <i>Volumes: The Andrew File System Data Structuring Primitive</i> , EEUG Conference Proceedings, Manchester, UK, Autumn 1986.	
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KL	36	WEIKUM, GERHARD, ET AL., <i>Towards Self-Tuning Memory Management for Data Servers</i> , Data Engineering Journal 22, 2 1999 pp 3-11.	
KL	37	WEST, MICHAEL, ET AL. <i>The ITC Distributed File System: Prototype and Experience</i> , Carnegie-Mellon University, Technical Report CMU-ITC-040, March 1985.	
KL	38	ZAYAS, EDWARD R., <i>AFS-3 Programmer's Reference: Architectural Overview</i> , Transarc Corporation, Pittsburgh, PA, 1.0 edition 1991.	

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 1 of 4

Complete If Known

Application Number	10/796,249
Filing Date	March 9, 2004
First Named Inventor	Shane S. Owara et al.
Group Art Unit	2171
Examiner Name	Richard L. Ellis
Attorney Docket Number	112056-0167

U.S. PATENT DOCUMENTS

Examiner Initials *	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
KL		10/126,822		FEDERWISCH et al.		U.S. Patent Application filed April 19, 2002 entitled SYSTEM AND METHOD FOR CHECKPOINTING AND RESTARTING AN ASYNCHRONOUS TRANSFER OF DATA BETWEEN A SOURCE AND DESTINATION SNAPSHOT
KL		10/777,978		STEPHEN L. MANLEY		U.S. Patent Application filed February 12, 2004 entitled SYSTEM-INDEPENDENT DATA FORMAT IN A MIRRORED STORAGE SYSTEM ENVIRONMENT AND METHOD FOR USING THE SAME
KL		US2002/0083037	A1	LEWIS et al.	06-27-2002	
KL		US2001/0044807	A1	KLEIMAN et al.	11-22-2001	
KL		US2003/0182313	A1	FEDERWISCH et al.	09-25-2003	
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KL		US2002/0175938	A1	HACKWORTH	11-28-2002	
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KL		US2003/0182312	A1	CHEN et al.	09-25-2003	
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KL		6,574,591	B1	KLEIMAN et al.	06-03-2003	

FOREIGN PATENT DOCUMENTS

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		Office ³	Number ⁴	Kind Code ⁵ (if known)				
KL		WO	2004/015521	A3	PAWLOWSKI et al.	02-19-2004		

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KL		5,355,453		ROW et al.	10-11-1994	
KL		5,485,579		HITZ et al.	01-16-1996	
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KL		6,606,690	B2	PADOVANO	08-12-2003	
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KL		"NETWORK APPLIANCE ENDS NAS/SAN WAR" by COMPUTERWIRE, http://www.theregister.co.uk/content/63/27368.html ; posted on February 10, 2002	
KL		CALLAGHAN B. "NFS Version 3 Protocol Specification", Request for Comments (RFC) 1813 June 1995	
KL		LU, Y. "Performance Study of iSCSI-Based Storage Subsystems", IEEE Communications Magazine, pp. 76-82, August 2003	
KL		Celerra File Server Architecture for High Availability, EMC2 where information lives, August 1999, pp. 1-7.	
KL		International Search Report for International Application No. PCT/US03/23661 filed on July 28, 2003, three pages, International Search Report mailed March 9, 2004.	
KL		Maintenance Procedures ND (8C) nd-network disk control February 1985	
KL		Misc. Reference Manual Pages ND (4P) nd-network disk driver 26 July 1985	
KL		Asante EN/SC Adapter Family Installation Guide May 1994	
KL		Asante Desktop EN/SC Adapters User's Manual April 1996	
KL		Performance Without Compromise: The Virtual Storage Architecture 1997	
KL		DAVID HITZ et al. TR3002 File System Design for a NFS File Server Appliance published by Network Appliance, Inc.	

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KL		Common Internet File System (CIFS) Version: CIFS-Spec 0.9, Storage Networking Industry Association (SNIA), Draft SNIA CIFS Documentation Work Group Work-in-Progress, Revision Date: 3/26/2001	
KL		Fielding et al. (1999) Request for Comments (RFC) 2616, HTTP/1.1	
KL		Stager et al., Network Data Management Protocol, Network Working Group Internet Draft Version 1.7.3, October 24, 1996	

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